

# STATE SHELTER GRANT

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Operations Manual – Fiscal Year 2007



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Community Development**

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# TABLE OF CONTENTS

<b>GENERAL INFORMATION .....</b>	<b>1</b>
Background.....	1
Goal.....	1
Objectives .....	1
Funding Year .....	2
Allocation of Funds.....	2
<b>GRANT REQUIREMENTS .....</b>	<b>2</b>
Participation in Local Continuum of Care Planning Groups.....	2
Matching Funds .....	2
Keeping Accurate Financial and Service Delivery Records .....	2
Documentation of Homelessness .....	4
Termination of Participation and Client Grievance Procedures.....	7
Participation of Homeless Persons in Policy Making and Agency Operations .....	7
Ensuring Confidentiality .....	8
Sanctions for Noncompliance .....	8
Reallocation of Grant Funds .....	9
Runaway, Homeless and Throwaway Youth .....	9
Serving Homeless Women in Domestic Violence Shelters.....	9
<b>TECHNICAL REQUIREMENTS .....</b>	<b>9</b>
Performance Measures .....	9
Minimum Standards .....	9
Building and Habitability Standards .....	10
Eligible Grant Activities .....	11
Ineligible Grant Activities .....	11
Fair Housing .....	13
Grant Agreements .....	13
Disbursement Requests.....	14
Reporting .....	15
Monitoring.....	16
TANF Guidelines .....	16
<b>DEFINITIONS .....</b>	<b>18</b>
<b>ATTACHMENTS.....</b>	<b>23</b>
Attachment I – Minimum Standards.....	24
Attachment II – SSG Budget.....	34
Attachment III - SSG Budget – TANF .....	35
Attachment IV – Request for Reimbursement .....	36
Attachment V – Request for Reimbursement – TANF.....	37
Attachment VI – Summary of Expenditures .....	38
Attachment VII – Summary of Expenditures – TANF .....	39
Attachment VIII – Quarterly Match Funds Summary – Cash Contributions.....	40
Attachment IX – Quarterly Match Funds Summary – In-Kind Contributions.....	41
Attachment X – Closeout Report .....	42
Attachment XI – Forms Instructions.....	43

# **GENERAL INFORMATION**

## **BACKGROUND**

State Shelter Grants are awarded by the Department of Housing and Community Development (DHCD) to nonprofit and local government providers of emergency shelter and transitional housing facilities for the homeless in Virginia. The State Shelter Grant (SSG) is comprised of both state and federal funds. DHCD provides the state portion of the award through allocations from the State General Fund. The federal portion of the SSG is TANF (Temporary Assistance to Needy Families) funds which originate at the U.S. Department of Health and Human Services, Administration for Children and Families and are provided to the Virginia Department of Social Services (DSS). In turn, DSS allots a portion to DHCD to administer and distribute as a part of the SSG program.

## **GOAL**

The goal of the State Shelter Grant (SSG) is to assist homeless families and individuals by providing financial support, technical assistance and training opportunities for local government and nonprofit agencies that provide services and support through emergency shelters and transitional housing facilities in Virginia.

## **OBJECTIVES**

The objectives of the SSG are:

1. To provide grant funds to emergency shelters and transitional housing facilities to pay for operating costs and the delivery of supportive services.
2. To provide grant funds to emergency shelters and transitional housing facilities for rehabilitation, repair and improvements to bring existing facilities into compliance with state and local health and building codes.
3. To improve agency operations and the delivery of services by providing technical assistance, training opportunities and information sharing.
4. To promote interagency collaboration, resource sharing and networking.

The specific objectives of TANF funds are:

1. To provide assistance to needy families.
2. To end dependence of needy parents by promoting job preparation, work and marriage.
3. To prevent and reduce out-of-wedlock pregnancies.
4. To encourage the formation of two-parent families.

## **FUNDING YEAR**

Fiscal Year 2007 (FY 07) begins July 1, 2006 and ends June 30, 2007.

## **ALLOCATION OF FUNDS**

SSG funding allocations are determined based on the total number of beds (not to exceed the Certificate of Occupancy) an agency self-reports in the Combined Application to DHCD. The formula is explained in the letter to recipients that accompanies the Grant Agreement. In addition, the Grant Agreement clearly denotes the amounts of the state and federal portions of the SSG award. This is important because there are distinct reporting requirements for each portion as well as distinct activities for which each portion may be used.

**NOTE:** The Catalog of Federal Domestic Assistance (CFDA) number of the Temporary Assistance for Needy Families (TANF) portion of the award is 93.558.

## **GRANT REQUIREMENTS**

### **PARTICIPATION IN LOCAL CONTINUUM OF CARE PLANNING GROUPS**

All DHCD grantees are expected to be active, participating members of their local Continuum of Care planning group. The following is DHCD's working definition:

*Participation in at least 51% (fifty-one percent) of the overall Coalition meetings, serves on at least one committee and contributes work hours and staffing in the Continuum of Care application process by writing sections, proof reading, and/or researching, etc.*

DHCD acknowledges that Continua of Care are unique organizations, specifically tailored to fit the needs and available resources within a community. For this reason, if the local Continuum of Care uses a different definition to describe "active member agency/organization," the grantee is held accountable to that definition.

### **MATCHING FUNDS**

All SSG grantees are required to provide a dollar-for-dollar match for the total SSG award amount. The match must be for the specific project for which SSG funding is requested and must be received and expended within the 2007 grant year. Grantees are required to submit documentation of matching funds on a quarterly basis. This documentation is discussed in the Reporting section of this Operations Manual (page 15).

### **KEEPING ACCURATE FINANCIAL AND SERVICE DELIVERY RECORDS**

Maintaining accurate records is an important aspect of quality management of SSG projects. Therefore, it is critical that full and accurate information about program activities and services provided with SSG funds is gathered and maintained. Grantees are expected to keep accurate records of the expenditure of funds and other program activities.

In order to report fully on program outcomes and activities, recipients should consistently gather demographic information on the population being served by the program and the types of

activities being provided to participants. This information is reported quarterly to DHCD (see Reporting – page 15).

Additionally, grantees must maintain accurate client records and documentation. Client files will be reviewed carefully during an on-site monitoring visit. At a minimum there should be:

- A completed admission form;
- A verification of homelessness form;
- A client assessment and case plan (*if not completed, a statement must be included in the case file explaining why it was not completed*);
- Case notes or other records of services provided; and
- An emergency contact form.

Winter shelters only are excluded from these requirements.

SSG regulations require that records are maintained for a period of at least **four** years after the end of the grant term.

### **Financial Management Tips**

The following are some general suggestions intended to address common issues and to strengthen the financial management practices of grantees/recipients in the SSG program:

- Employee time sheets should reflect actual times, not percentages. Likewise, time sheets should be signed and dated by the staff person and then the supervisor.
- When staff salaries are shared among more than one SSG budget line (e.g., essential services and operating expenses), the time sheet should reflect the distribution of time between budget lines.
- If the expenditures are paid for by more than one source (e.g., federal, United Way, private donations), the split costs should be accurately tracked within the grantee's accounting system.
- Only actual incurred costs can be charged against the grant. For example, invoices for blocks of professional counseling time must show that participants were provided counseling services throughout that time period to be considered an actual, incurred cost.
- Grantees may not draw from their accounts until after the grantee has paid for the goods and services, and are seeking reimbursement for those expenses.
- Requests for reimbursement with SSG funds should be made on a monthly basis.

### **DOCUMENTATION OF HOMELESSNESS**

Documentation of participants' homelessness situation is an equally important aspect of SSG

project management. SSG recipients are required to maintain adequate documentation of homelessness status to determine the eligibility of homeless applicants. The documentation is typically obtained from the participant or a third party at the time of referral, entry, intake or orientation to the program. A copy of the documentation must be maintained in the client file.

### **How is Homelessness Defined?**

HUD defines homelessness using the following definition: A homeless person is someone who is living on the street or in an emergency shelter, or who would be living on the street or in an emergency shelter without HUD's homelessness assistance. A person is considered homeless only when he/she resides in one of the places described below:

- In places not meant for human habitation, such as cars, parks, sidewalks, abandoned buildings, on the street;
- In an emergency shelter;
- In transitional or supportive housing for homeless persons who originally came from the streets or emergency shelters;
- In any of the above places but is spending a short time (up to 30 consecutive days) in a hospital or other institution;
- Is being evicted within a week from a private dwelling unit and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing or their housing has been condemned by housing officials and is no longer considered meant for human habitation;
- Is being discharged within a week from an institution in which the person has been a resident for more than 30 consecutive days and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing; or
- Is fleeing a domestic violence housing situation and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing.

### **Homelessness Verification and Documentation**

The degree of documentation of homelessness required depends on the type of short- or long-term shelter provided. Projects providing short-term emergency shelter or support services only, require a lower standard of proof of the person's prior living situation than projects providing long-term emergency shelter or transitional housing.

**Short-Term Emergency Shelter/Services (1 – 30 Days)**

<b>Participant</b>	<b>Verification/Documentation Required</b>
Persons living on the street	<p>Projects may provide short-term shelter and/or services - such as outreach, food health care, and clothing - to persons who reside on the streets or who are otherwise homeless. In these cases, it may not be feasible to obtain required verifications and associated documentation for each homeless person.</p> <p>If unable to verify that the person is living on the street or in short-term emergency shelter, the participant or a staff person may prepare a short written statement about the participant's previous living place. The participant should sign the statement and date it.</p>

**Long-Term Emergency Shelter (1 – 120 Days)**

<b>Participant</b>	<b>Verification/Documentation Required</b>
Persons living on the street or in short-term emergency shelter	<p>Information should be obtained to indicate that the participant is living on the street or in short-term emergency shelter. This may include names of organizations or outreach workers who have assisted them in the past, whether the client receives any general assistance checks and where the checks are delivered, or any other information regarding the participant's activities in the recent past that might provide documentation.</p> <p>If unable to verify that the person is homeless, the participant or a staff person may prepare a short written statement about the participant's previous living place. The participant should sign the statement and date it.</p>
Persons coming from another program for homeless persons	<p>Obtain written verification from the homeless program staff that the participant has been residing at the facility. The verification should be signed and dated by the referring agency personnel.</p> <p>Also, obtain written verification that the participant was living on the streets or otherwise homeless, was residing in another homeless program or was discharged from an institution or evicted from a private dwelling prior to living in the facility and would have been homeless (see below for required documentation for eviction from a private dwelling).</p>
Persons being evicted	Obtain evidence of formal eviction notice indicating that

from a private dwelling	<p>the participant was being evicted within a week before receiving homeless assistance. Also, obtain information on the participant's income and efforts made to obtain housing and why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.</p> <p>If the participant's family is evicting, a statement describing the reason for eviction must be signed by the family member and dated. In other cases where there is no formal eviction process, persons are considered evicted when they are forced out of the dwelling unit by circumstances beyond their control. In those instances, obtain a signed and dated statement from the participant describing the situation. The grantee/recipient must make efforts to confirm that these circumstances are true and have written verification describing the efforts and attesting to their validity. The verification should be signed and dated.</p>
Persons from a short-term stay (up to 30 consecutive days) in an institution who previously resided on the street or in an emergency shelter	Obtain written verification from the institution's staff that the participant has been residing in the institution for less than 31 days and information on the previous living situation. See above for guidance.
Persons being discharged from a longer stay in an institution	Obtain evidence from the institution's staff that the participant was being discharged within the week before receiving homeless assistance. Obtain information on the income of the participant, what efforts were made to obtain housing and why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.
Persons fleeing domestic violence	Obtain written verification from the participant that he/she is fleeing a domestic violence situation. If a participant is unable to prepare verification, the grantee/recipient may prepare a written statement about the participant's previous living situation for the participant to sign and date.



## **Transitional Housing**

<b>Participant</b>	<b>Verification/Documentation Required</b>
For clients being accepted into the TH program from a homeless situation	The same criteria required of long-term shelters must be used in these situations.
For clients coming from an emergency shelter	A statement from the referring agency indicating the client resided in the shelter is sufficient.

## **TERMINATION OF PARTICIPATION AND GRIEVANCE PROCEDURE**

Grantees and recipients in the program may terminate assistance provided to clients who violate program requirements. The termination, however, must allow for the due process of the terminated client's rights.

Grantees must have in place a procedure that governs the termination and grievance process. These procedures should describe the program requirements and the termination process, as well as the grievance procedure that might, for example, allow participants to request a hearing regarding the termination of their assistance.

It is important that recipient organizations effectively communicate the termination and grievance procedures to clients and ensure the procedures are fully understood. For example, the staff might verbally explain the procedures to clients upon entry, intake, or orientation to the program and make the procedures readily available to participants either with written information or by posting the policy in a public place. Posting the policy on a bulletin board in a common area within the facility is an effective way to ensure that the procedures are available for clients to access at any time.

The federal regulation at 24 CFR 576.56 (a) (3) describes the ESG required termination provision that may be applied to the SSG.

## **PARTICIPATION OF HOMELESS PERSONS IN POLICY-MAKING AND OPERATIONS**

Each grantee must involve, to the maximum extent possible, homeless individuals and families in program policy and procedure making decisions, in the maintenance and operation of facilities and in the provision of services to residents of these facilities.

This might include, for example, involvement of a homeless or formerly homeless person on the Board of Directors, Advisory Council or similar entity that considers and sets program policy or makes decisions for the grantee. This involvement may also be in the form of client employment or volunteering in agency activities such as construction, renovation, maintenance, general operation of facilities, or provision of services. Other methods of achieving client involvement may include having a suggestion box, using chore lists and exit interviews, conducting regularly

scheduled house meetings, encouraging clients to assist with children's programs, parenting classes or vocational training programming.

Grantees may request a waiver from this requirement when the grantee is unable to meet it and the grantee agrees to consult with homeless or formerly homeless persons in making program policy or decisions.

This requirement is in accordance with federal regulation at 24 CFR 576.56 (b).

## **ENSURING CONFIDENTIALITY**

To ensure the safety and security of clients fleeing domestic violence situations, grantees are required to develop and implement procedures to guarantee the confidentiality of client records. At a minimum, all client paper files and records should be secured when not in use in a locked file cabinet in a room that is also locked when staff is not present. Client records and files that are stored electronically must be password protected and should only be accessed by authorized agency personnel.

In addition, the address and location of domestic violence shelter facilities may not be publicly disclosed except with the written authorization of the person(s) responsible for the shelter facility's operation.

The federal regulation at 24 CFR 576.56 describes this requirement.

## **SANCTIONS FOR NONCOMPLIANCE**

If DHCD determines that a grantee is not complying with the requirements of the SSG program guidelines as defined in the Operations Manual or other applicable federal or state laws, then DHCD may apply one or more of a variety of sanctions on the grantee.

These potentially include requiring that previously committed SSG funds are returned to DHCD or choosing not to provide future grant funding to the grantee. Specifically, sanctions that may be applied (in addition to any remedies that may otherwise be available) include:

- Issuance of a warning letter indicating that further failure to comply with such requirements will result in a more serious sanction;
- Conditioning of a future grant;
- Directing the grantee to stop incurring costs under the grant;
- Requiring that some or all of the grant amounts already disbursed to the grantee be remitted to DHCD;
- Reducing the level of funds the grantee would otherwise be entitled to receive; and/or
- Electing not to provide future grant funds to the grantee until appropriate actions are taken to ensure compliance.

## **REALLOCATION OF FUNDS**

DHCD continually monitors the use of all grant funds. DHCD reserves the right to reduce the grant award and reallocate funds to another agency. Prior to any action being taken the grantee will be contacted by the assigned Program Administrator to discuss funding concerns or issues. Grant budget amendments will be used for any changes in the grant funding allocation.

## **RUNAWAY, HOMELESS AND THROWAWAY YOUTH**

For the purpose of the SSG, children or juveniles who are wards of the state are not considered to be homeless persons and can not be permitted to reside in a SSG funded shelter. If it is determined that a child is a ward of the state, the police must be notified.

Programs that are designed and intended to serve runaway, homeless and throwaway youth must be in compliance with the requirements of the US Department of Health and Human Services, Family and Youth Services Bureau.

## **SERVING HOMELESS WOMEN IN DOMESTIC VIOLENCE SHELTERS**

If space is available, domestic violence programs must shelter other homeless women and children on an emergency basis. An overnight stay is expected, with provision for transportation and/or arrangements for an alternative type of shelter as available. Non-domestic violence clients sheltered on an emergency basis must be included in the numbers of households/cases served on the Quarterly Statistical Report, but should not be included in calculating the percentage of households placed into transitional or permanent housing.

# **TECHNICAL REQUIREMENTS**

## **PERFORMANCE MEASURES**

- All Emergency Shelters receiving SSG funds (excluding winter shelters) must be able to document placement of a minimum of 10% of the homeless households served in fiscal year 2007 into transitional or permanent housing.
- Applicants providing transitional housing must be able to document placement of a minimum of 50% of the households who completed the transitional housing program in fiscal year 2007 into permanent housing. "Household" is defined as all clients including single individuals and families.

## **MINIMUM STANDARDS**

- Grantees are expected to meet the "Minimum Standards" for Homeless Programs by July 2007. The Minimum Standards are provided as Attachment I to this document.
- By November 1, 2006 grantees must submit to DHCD a summary report of a Self Study. This summary report will discuss the status of the grantee and what technical assistance and training will be necessary to achieve compliance with the Minimum Standards.

## BUILDING AND HABITABILITY STANDARDS

Any building for which SSG funding is used for renovation, major rehabilitation or conversion must meet local government safety and sanitation standards. In addition, the following are a number of basic standards to ensure that shelter and housing facilities funded through the SSG program are safe, sanitary and adequately maintained.

**Structure and Materials** - The shelter building should be structurally sound to protect residents from the elements and not pose any threat to the health and safety of the residents.

**Access** - The shelter must be accessible and there should be a second means of exiting the facility in the case of emergency or fire.

**Space and Security** - Each resident should have adequate space and security for themselves and their belongings. Each resident must have an acceptable place to sleep.

**Interior Air Quality** - Each room or space within the shelter/facility must have a natural or mechanical means of ventilation. The interior air should be free of pollutants at a level that might threaten or harm the health of residents.

**Water Supply** - The shelter's water supply should be free of contamination.

**Sanitary Facilities** - Each resident should have access to sanitary facilities that are in proper operating condition. These facilities should be able to be used in privacy and be adequate for personal cleanliness and the disposal of human waste.

**Thermal Environment** - The shelter/facility must have any necessary heating/cooling facilities in proper operating condition.

**Illumination and Electricity** - The shelter/facility should have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There should be sufficient electrical sources to permit the safe use of electrical appliances in the shelter.

**Food Preparation** - Food preparation areas, if any, should contain suitable space and equipment to store, prepare and serve food in a safe and sanitary manner.

**Sanitary Conditions** - The shelter should be maintained in a sanitary condition.

**Fire Safety-Sleeping Areas** - There should be at least one working smoke detector in each occupied unit of the shelter facility. In addition, smoke detectors should be located near sleeping areas where possible. The fire alarm system should be designed for a hearing-impaired resident.

**Fire Safety-Common Areas** - All public areas of the shelter must have at least one working smoke detector.

## ELIGIBLE GRANT ACTIVITIES

The state portion of the SSG **may be used** for one or more of the following activities:

- The state portion of the SSG **may be used** for rehabilitation, repair and improvements to bring existing emergency shelters and transitional housing facilities into compliance with state and local health and building codes.
- The state portion of the SSG **may be used** for operation costs such as administration (including staff), maintenance, rent, utilities, insurance, supplies and furnishings for emergency shelters and transitional housing facilities.
- The state portion of the SSG **may be used** for the delivery of essential human services that address issues such as employment, substance abuse, education or health where such services do not duplicate or supplant existing local services.

**It is important to note that:**

- Grantees must use the state portion of SSG awards to achieve code compliance of the facility structure prior to directing funds to other operation costs.
- Primarily religious organizations must agree to provide all eligible activities under this program in a manner that is free from religious influences.

The TANF portion of the SSG **may be used** for:

- Operations and supportive services intended to achieve the purpose of the program as described above.

**It is important to note that:**

- A state may contract with charitable, religious and private administrative and programmatic services.
- There must be an income limit (resource limit optional) for services provided under TANF. This income limit can be up to 200% of the federal poverty limit.
- Information collected on families receiving services funded by TANF is protected as specified in the Virginia Protection Act of 1976 (*Code of Virginia* 2.1-377-389).

## **INELIGIBLE GRANT ACTIVITIES**

The state portion of the SSG **may not be used** for the following activities or for any activity that is in violation of federal law or the laws of the Commonwealth of Virginia:

- The state portion of the SSG **may not be used** for the provision of shelter or services to persons other than those who are homeless.
- The state portion of the SSG **may not be used** for the provision of emergency shelter to the homeless where clients are charged a fee or rent or required to make a donation to receive shelter.
- The state portion of the SSG **may not be used** for the provision of transitional housing or any other housing for the homeless if either of the following apply:

- Rents/fees charged exceed 30% of the resident's income;
- The total annual income from rents exceeds 50% of the last year's total budget for the transitional or other housing program.
- The state portion of the SSG **may not be used** to acquire/purchase real property (buildings, land, and structures), including mortgage payments.
- The state portion of the SSG **may not be used** for homeless prevention activities such as, but not limited to, mortgage or rental assistance and rental or utility deposits. Grantees should develop a working relationship with the staff of the closest Homeless Intervention Program (HIP). HIPs have funds available for persons needing this type of assistance.
- The state portion of the SSG **may not be used** for the provision of beds for which third-party payments are received. This includes per diem payments from the Department of Social Services, the Department of Corrections and other state agencies. FEMA funding is not included.

The TANF portion of the SSG **may not be used** for the following activities:

- The TANF portion of the SSG **may not be used** for any ineligible grant activity as it applies to the state portion of the SSG.
- The TANF portion of the SSG **may not be used** for juvenile justice activities.
- The TANF portion of the SSG **may not be used** to provide medical services other than pre-pregnancy family planning services.
- The TANF portion of the SSG **may not be used** for objectives 1,2 and 4 of TANF (page 2) if the family does not include a minor child, i.e., a pregnant individual; or an individual less than 18 years old, or if a full-time secondary school student, less than 19 years old, who resides with the family.

## FAIR HOUSING

All fiscal year 2006-2007 SSG grantees must perform some action in the area of enforcement and/or promotion to affirmatively further fair housing. During the grant year (July 1, 2006 - June 30, 2007), grantees must carry out a minimum of one activity to further fair housing. The activity may be chosen from the following list or may be one that has been specifically approved by the Program Administrator.

- Adopt a resolution endorsing the concept of fair housing and advertising the resolution through the local media.
- Enact a local fair housing ordinance substantially equivalent to federal or state law.
- Attend a fair housing workshop offered or approved by DHCD. A member of the Board or governing body, or the chief administrative official and another appropriate representative (local realtor, banker, etc.) must attend a fair housing workshop.
- Provide all project beneficiaries with a copy of a fair housing brochure.
- Enlist the participation of local realtors, lenders and homebuilders in an agreement and promotion of affirmative marketing, open housing and review of underwriting, credit criteria, etc. The agreement must be published through the local media.
- Conduct a public educational program for local housing consumers and providers and/or financial institutions regarding fair housing issues.
- Develop a public information network using local newspapers, radio stations, bulletin boards, churches, utility bill mailing, etc. to ensure all segments of the community are aware of fair housing requirements, especially realtors, landlords, financial institutions and minority households.
- Develop a fair housing assistance program to make housing opportunities known to minorities, to monitor compliance and to refer discrimination complaints to the proper authorities.
- Assess the special housing problems of women and minorities through surveys, etc. and determine any effects of discrimination. Develop a plan to assist in overcoming these effects.
- Develop or fund a community-based fair housing organization.

## GRANT AGREEMENTS

DHCD will enter into a Grant Agreement with each approved applicant on July 1, 2006. The Grant Agreement will specify the terms and conditions of the grant award. **The Grant Agreement must be signed and the full document (all pages) mailed to DHCD by August 28, 2006 or the award may be forfeited.** The Grant Agreement will require grantee compliance with the terms, conditions, and requirements of the agreement, the program and the laws of the Commonwealth.

The Grant period will begin July 1, 2006 and end June 30, 2007. A Grant Agreement is considered fully executed and in force when both parties have signed it. A grantee that returns the signed Grant Agreement to DHCD on or before **August 15, 2006** may use SSG per bed funds for expenses incurred from July 1, 2006 through June 30, 2007. A grantee that returns the signed Grant Agreement after July 31, 2006 **may not** use SSG funds for expenses incurred before the date the Grant Agreement is received and signed at DHCD.

Along with the Grant Agreement, a budget for the 2007 fiscal year must be submitted detailing the categories, amounts and match sources for the funding. If the grant allocation includes both State General Funds and TANF funds, you must submit a budget for each (Attachments II and III). The budget forms are also available on the DHCD web-site ([www.dhcd.virginia.gov](http://www.dhcd.virginia.gov)) and the DHCD Homeless Program Group site (<http://groups.yahoo.com/group/DHCDHomelessPrograms/>).

## **DISBURSEMENT REQUESTS**

All funds (state and TANF) are disbursed by reimbursement only and must adhere to the following guidelines:

- To request a disbursement, a grantee must submit a **Request for Reimbursement** form by mail or fax to DHCD. Please note that there are two Request for Reimbursement forms; one to seek reimbursement for State General Funds (Attachment IV) and one to seek reimbursement for TANF funds (Attachment V). Please ensure that the appropriate form is submitted.
- Along with the Request for Reimbursement, the grantee must submit the **Summary of Expenditures** form detailing expenses incurred during the previous month. Please note that there are two Summary of Expenditures forms; one for State General Funds (Attachment VI) and one for TANF funds (Attachment VII). Please ensure that the appropriate form is submitted. The Summary of Expenditures form **must be submitted** with the Request for Reimbursement. If it is not, the request will be returned.
- Expenses **must** be recorded on the Summary of Expenditures form in accordance with the approved budget. The proper category and expense account number must correspond with all reported expenses before the disbursement request can be approved. An amended budget may be submitted if a need to transfer money between categories occurs as the grant year progresses. The amended budget must be approved by the regional Program Administrator.
- Requests for SSG funds (TANF & State General Funds) must be submitted on a monthly basis for expenses incurred in the preceding month and must arrive at DHCD by the 15<sup>th</sup> day of the month. (For example, requests for expenses incurred in July must be received at DHCD by August 15<sup>th</sup>). Requests not meeting these guidelines will not be processed.
- **All TANF funds must be expended by April 30, 2007 and TANF reimbursements must be requested by May 15, 2007 or the unexpended balance grant funds will be reduced by the unused portion.**



It is important to note that requests for TANF funds take approximately 45 days to process. Requests for State General Funds are generally processed more quickly with an average turnaround time of less than 30 days.

## REPORTING

- All grantees, including winter shelters, must submit **Statistical Reports** on a quarterly basis to DHCD. Statistical Reports must be submitted for each of the four quarters in fiscal year 2007, even if SSG funds are not expended in the quarter. Statistical Reports are **only accepted electronically** to the Housing and Homeless Assistance unit of DHCD ([hhaunit@dhcd.virginia.gov](mailto:hhaunit@dhcd.virginia.gov)). Electronic reporting instructions and forms are located on the DHCD Homeless Programs Group site: <http://groups.yahoo.com/group/DHCDHomelessPrograms/>.
- The **due dates** for the Statistical Reports are:
  - October 10, 2006
  - January 10, 2007
  - April 10, 2007
  - July 10, 2007
- A **Quarterly Match Funds Summary** report must be submitted. Please note that there are two Quarterly Match Funds Summary reports; one to document cash contributions (Attachment VIII) and one to document in-kind contributions (Attachment IX). The reports may be faxed or mailed to DHCD.
- The **due dates** for the Quarterly Match Funds Summary reports are:
  - October 15, 2006
  - January 15, 2007
  - April 15, 2007
  - July 15, 2007
- Failure to submit reports by the required due dates will result in a hold on DHCD grant disbursements. Repeated non-compliance with reporting requirements may result in further grant restrictions.
- DHCD is required to submit periodic reports to the Virginia Department of Social Services. Delays in reporting may cause delays in processing TANF payments. Therefore, it is imperative that each grantee submits all reporting information accurately and in a timely manner.
- A **Grant Closeout Report** (Attachment X) must be submitted when all SSG funds are expended.

**IMPORTANT NOTE:** All reimbursement and reporting forms are located in this document. In addition, they are located on the DHCD Homeless Programs Group site at <http://groups.yahoo.com/group/DHCDHomelessPrograms/> and the DHCD website at <http://www.dhcd.virginia.gov>. Instructions for all forms are available as Attachment XI in this Operations Manual.

## **MONITORING**

DHCD staff will monitor the use of grant funds through a combination of a thorough review of all submitted reports, review of audit or financial statements, monitoring and site visits.

## **TANF GUIDELINES**

### **A) Program Objectives**

The Virginia Department of Social Services receives TANF funding in the form of a block grant from the United States Department of Health and Human Services (HHS). The TANF block grant funds must be used to meet at least one of the four objectives stated in the federal TANF law. The objectives of TANF are to:

- (1) provide assistance to needy families;
- (2) end dependence of needy parents by promoting job preparation, work, and marriage;
- (3) prevent and reduce out-of-wedlock pregnancies; and
- (4) encourage the formation and maintenance of two-parent families

### **B) Source of Government Requirements**

TANF was established by the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Public Law 104-193), which amended Title IV-A of the Social Security Act. Additional amendments were enacted in the Balanced Budget Act of 1997. The federal law regarding TANF can be found in the U. S. Code at 42 USC 601-619.

Program regulations were published in the April 12, 1999 Federal Register (45 CFR Part 260, et al.) The Internet site for the federal regulations is [www.acf.dhhs.gov/programs/ofa/finalru.htm](http://www.acf.dhhs.gov/programs/ofa/finalru.htm). In addition, the U. S. Department of Health and Human Services has published a TANF guide, "Helping Families Achieve Self-Sufficiency: A Guide on Funding Services for Children and Families Through the TANF Program." It is available on the Internet at [www.acf.dhhs.gov/programs/ofs/funds2.htm](http://www.acf.dhhs.gov/programs/ofs/funds2.htm).

TANF is subject to the A-102 Common Rule ([www.whitehouse.gov/omb/circulars/a102/a102.htm](http://www.whitehouse.gov/omb/circulars/a102/a102.htm)) and OMB Circular A-87 ([www.whitehouse.gov/omb/circulars/a087/a0870all.html](http://www.whitehouse.gov/omb/circulars/a087/a0870all.html)).

Any program or activity that receives TANF block grant funds is subject to: the Age Discrimination Act of 1975, the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and the Civil Rights Act of 1964. There shall be no discrimination based on race, color, religion, sex, national origin, marital, parental, or birth status, or disability by State or local agencies in the administration of any public assistance program.

### **C) TANF Compliance Requirements**

Activities Allowed:

- Funds may be used in any manner to achieve the purposes of the program.
- Funds may be used for programs to prevent and reduce the number of out-of-wedlock pregnancies, including programs that provide education and training on the problem of statutory rape.
- Funds may be used to provide employment placement services to individuals receiving assistance under TANF.
- Funds may be used to fund individual development accounts established for individuals eligible to receive assistance under TANF.
- A State may contract with charitable, religious and private organizations to provide administrative and programmatic services.
- There must be an income limit (resource limit optional) for services provided under objectives 1 and 2 of TANF. This income limit can be up to 200% of the federal poverty limit.
- Information collected on families receiving services funded by TANF is protected as specified in the Virginia Privacy Protection Act of 1976 (*Code of Virginia 2.1-377-389*).

#### Activities Not Allowed:

- Funds may not be used for juvenile justice activities.
- Funds may not be used to provide medical services other than pre-pregnancy family planning services.
- Funds may not be used for sectarian worship or instruction.
- Funds may not be used for purposes 1, 2, and 4 of TANF if the family does not include a minor child, i.e., a pregnant individual; or an individual less than 18 years old, or, if a full-time secondary school student, less than 19 years old, who resides with the family.

#### **D) Assistance vs. Non-assistance**

The funds being allocated by RFP cannot be used for “assistance” unless specifically permitted by the Secretary of Health and Human resources. Generally, assistance refers to cash benefits and non-assistance refers to the provision of services.

The definition of “assistance” provided with TANF federal funds is of particular importance because the major TANF program requirements (e.g., work requirements, time limits on Federal assistance, assignment of rights to child support, and data reporting) apply only to families receiving “assistance”. The definition of assistance can be found at 45 CFR 260.31 ([www.acf.dhhs.gov/programs/ofa/finalru.htm](http://www.acf.dhhs.gov/programs/ofa/finalru.htm)).

Assistance excludes non-recurrent, short-term benefits designed to deal with individual crisis situations rather than ongoing need. These benefits cannot provide

for needs that extend beyond four months. The definition of assistance also excludes child care, transportation and supports provided to employed families, individual development account (IDA) benefits, refundable earned income tax credits, work subsidies to employers, and services such as education and training, case management, job search, and counseling.

### **E) Financial Penalties**

- Use of federal funds in violation of the Act results in financial penalties. The single audit conducted under the Single Audit Act, supplemented by other related audits, reviews, and data sources will help identify violations.
- Any use of funds that violates the provisions of the Act, section 115(a)(1) of PRWORA, the provisions of 45 CFR part 92 or OMB Circular A-87 will be considered to be a misuse of funds.
- Misuse of funds will be considered intentional if there is supporting documentation, such as federal guidance or policy instructions, indicating that federal TANF funds could not be used for that purpose.

## **DEFINITIONS**

The words and terms listed, when used in these guidelines, shall have the following meaning unless the context clearly indicates otherwise.

<b>Annual Performance Report (APR)</b>	A yearly progress and outcomes report required for every project during each year that a grant agreement is active.
<b>Applicant</b>	An incorporated nonprofit organization or unit of local government that makes application for funds under this program.
<b>Application</b>	The written request for grant funding under the SSG program.
<b>Audit Trail</b>	A complete record of expenditures including: request for purchase and by whom, how approved, source of funds used for expense, date of acquisition and cost.
<b>Authorized Signature</b>	The signature of an executive officer, agency director or other responsible employee designated by a recipient agency as an "Authorized Person".
<b>Bed Capacity</b>	The maximum number of full-year resident beds at a facility available for use by the homeless as approved by the local building official and stated on the Certificate of Occupancy.
<b>Bed Night</b>	Each night a homeless person occupies a bed in an emergency shelter or transitional housing program is considered to be a bed night.

<b>Case Management</b>	An established client/case manager relationship that emphasizes dialogue and interaction with the person/family who is homeless. Case management services are a series of coordinated activities with the client to assess the type(s) of services needed, identify necessary community resources and work collaboratively to accomplish the agreed upon goals.
<b>Chronically Homeless</b>	An unaccompanied homeless individual with a disabling condition who has either been continually homeless for a year or more or has had at least four (4) episodes of homelessness in the past three (3) years.
<b>Day Shelter</b>	A shelter that is accessible to unsheltered homeless individuals during the day and provides facilities to address basic necessities such to take care of basic necessities such as food, showers, laundry, etc.
<b>DHCD</b>	The Virginia Department of Housing and Community Development
<b>Domestic Violence Shelter</b>	A shelter where the primary purpose is to provide temporary shelter care services for women and children that are victims of domestic violence and are homeless.
<b>Emergency Shelter Grant (ESG)</b>	The Federal Shelter Grant, funded through U. S. Department of Housing and Urban Development's Emergency Grants Program
<b>Essential Services</b>	Services that address the immediate needs of the homeless through day shelters or soup kitchens; or provide assistance from the shelter setting which enables homeless persons to become more independent and to secure permanent housing. After meeting immediate personal needs, shelter services should provide assistance that will strengthen a client's ability to move into transitional, supportive or permanent housing.
<b>FY 06</b>	The state fiscal year July 1, 2005 through June 30, 2006
<b>FY 07</b>	The state fiscal year July 1, 2006 through June 30, 2007
<b>Federal Fiscal Year</b>	Refers to the period of October 1 through September 30
<b>Grant Agreement</b>	The contract between DHCD and the grantee containing the terms and conditions of the applicable program.
<b>Grantee</b>	The legal entity to which a grant is awarded and is accountable for the use of the funds provided.
<b>Housing First</b>	A housing model that breaks the cycle of homelessness by placing

	some of the most vulnerable and at-risk homeless individuals and families into semi-permanent or permanent housing first and then providing supportive services to them.
<b>Housing Choice Voucher</b>	A tenant-based voucher program that increases housing choices by making safe, decent and affordable privately owned rental housing available to very low income families.
<b>Housing Opportunities for People with Aids (HOPWA)</b>	A program that addresses the specific needs of persons living with HIV/AIDS and their families. HOPWA makes grants to local communities, states, and nonprofit organizations for projects that benefit low income persons medically diagnosed with HIV/AIDS.
<b>HUD</b>	The United States Department of Housing and Urban Development
<b>Housing Quality Standards (HQS)</b>	A set of structural and maintenance standards established by the U. S. Department of Housing and Urban Development.
<b>Handicapped Accessibility</b>	The absence of architectural or communication barriers that restrict full access to a facility by an individual with a physical or mental impairment.
<b>Homeless</b>	<p>(a) An individual or family that lacks a fixed, regular, and adequate nighttime residence: or</p> <p>(b) An individual or family that has a primary nighttime residence that is:</p> <ul style="list-style-type: none"> <li>• A supervised publicly or privately operated shelter designed to provide temporary living conditions (including welfare hotels, congregate shelters, and transitional housing) for persons with mental illness;</li> <li>• An institution that provides a temporary residence for individuals intended to be institutionalized; or</li> <li>• A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.</li> </ul> <p>The term does not include any individual imprisoned or otherwise detained pursuant to an Act of the Congress or a State law.</p> <p>The term does not apply to those are who considered at imminent danger of becoming homeless due to eviction or foreclosure. If eviction or foreclosure occurs, the individual or family may be considered homeless if there are no other housing resources available to them.</p>

<b>Homeless Facility</b>	A structure used as an emergency shelter, transitional housing or winter shelter
<b>Household</b>	An individual or the total number of persons who occupy a particular dwelling including persons who may not be related to the householder.
<b>HMIS – Homeless Management Information System</b>	An internet based, data collection system that collects data from all participating homeless service providers within a Continuum of Care planning group. All SSG grantees are required to participate in their local CoC activities, including HMIS where implemented. Domestic violence shelters are to participate to the fullest extent of all applicable laws and federal regulations.
<b>In-Kind</b>	Donated volunteer services or goods including staff time, shelter rent, shelter facilities or supplies eligible under program guidelines.
<b>Internal Controls</b>	The combination of policies, procedures, personnel, defined responsibilities and records that allow an organization to maintain adequate oversight and control of its finances.
<b>Major Rehabilitation</b>	Rehabilitation that involves costs in excess of 75% of the value of the building before rehabilitation. Buildings assisted at this level must be maintained as a shelter for the homeless for not less than a 10-year period.
<b>Obligated</b>	That the contracting organization has placed orders, awarded contracts, received services or entered similar transactions that require payment from the grant.
<b>Locality or jurisdiction</b>	A city, county or town located within the State of Virginia.

<b>Long Term Emergency Shelter</b>	Any facility where the primary purpose is to provide shelter care services to people who are homeless for a maximum of 6 months.
<b>Low-income</b>	80% of median income as established by HUD
<b>Maintenance</b>	Routine repairs to a building or property to assure its continued safe, sanitary and energy-efficient use.
<b>Permanent Housing</b>	A home or apartment, including Section 8 or Public Housing, in which the household plans to stay for an indefinite extended period of time.
<b>Rehabilitation</b>	Substantial physical improvements/repairs to a facility, which will secure it structurally; correct building, health, or fire safety code defects; increase energy efficiency; and/or assure safe and sanitary occupancy.
<b>Service Area</b>	The geographic area or jurisdiction served by a nonprofit organization or a local government project sponsor.
<b>Short Term Emergency Shelter</b>	Shelters in which homeless persons are allowed to reside 30 days or less.
<b>SRO</b>	A single room occupancy dwelling in which the occupant plans to stay for an indefinite extended period of time.
<b>SSG</b>	State Shelter Grant
<b>Transitional Housing</b>	Facilities for the homeless designed to meet their longer-term temporary housing and human service needs, wherein the typical stay is over thirty (30) days and less than two years. Facilities identified as transitional housing for HUD funding and/or other grants, brochures, or annual reports must be identified as transitional housing when applying for SSG funding. HUD defines transitional housing as having the “purpose” of moving homeless individuals and families to permanent housing within 24 months.
<b>Winter Shelter</b>	Seasonal facilities open during inclement months of the year providing, at a minimum, beds and food to homeless persons. Other supportive services may be offered.



# ATTACHMENTS

## **Homeless Programs – Minimum Standards**

We wish to acknowledge and thank HOMEWARD in Richmond for allowing us to modify the established “Community Standards”, which are being used to certify homeless service providers in the metro Richmond area.

As a part of the grant application process, grantees must conduct annually a “self-study” to determine compliance with DHCD standards and expectations. If a grantee is found to be non-compliant, a corrective action plan must be provided explaining the actions the agency will take to meet expectations. A waiver for a particular standard will be considered if there is a clear and compelling reason articulated by the grantee.

If a grantee’s program is located in a community where their currently exists a formal set of standards approved by the local Continuum of Care planning group, the grantee is exempt from having to comply with DHCD’s Minimum Standards.

This document may be used as one of the review documents during an on-site monitoring review by a DHCD Program Administrator.

### **A. DOCUMENTATION**

The following organizational documents, policies, statements or certifications are key ingredients to a well-managed agency or organization.

- A1 The organization has formal by-laws that have been reviewed and approved by the Board of Directors within the last three years.
- A2 The organization has a written Conflict of Interest Policy that addresses conflicts of interest that involve members of the Board of Directors and all employees and volunteers of the organization.
- A3 The agency has written guidelines that are shared with all clients on its policies and rules regarding:
  - confidentiality
  - client rights and responsibilities
  - fee structure (if applicable)
  - payment guidelines (if applicable)
  - hours of operation
  - eligibility criteria

### **B. THE BOARD OF DIRECTORS**

The Board of Directors’ primary purpose is to assure that the nonprofit fulfills its mission and meets its goals. More specifically, the Board of Directors’ purpose is to set broad policy, review and approve programs and budgets developed and implemented by the Executive Director, and ensure financial stability and accountability.

- B1 The Board is responsible for the selection and annual performance review of the chief administrative officer.

- B2 The Board meets at least four (4) times annually and minutes of all meetings are kept.
- B3 The Board has approved an appropriate structure for fiscal management and responsibility.
- B4 The agency adheres to a written policy that ensures continuity, change in board membership and diversity of board members.
- B5 Each new board member receives orientation.
- B6 A Board needs assessment is conducted yearly and training provided that addresses the Board's needs.
- B7 The Board has a committee structure that specifies the purpose and composition, including but not limited to a finance committee.

**C. STRATEGIC PLANNING**

A vibrant organization must always have an understanding of the direction the organization will take in the future. A strategic plan is an essential document that reflects where the organization presently is and where the organization plans to be in the future and is reflective of the need to change to deliver quality services. It should detail how the agency intends to achieve its objectives by prioritizing goals and determining resources.

- C1 The Strategic Plan has been developed in partnership with the Board and key staff people and is reviewed at least every three years.
- C2 A Work Plan including measurable goals, target dates and responsible parties has been developed and is reviewed at least annually by the Board.

**D. FISCAL MANAGEMENT**

The stewardship function of the Board of Directors ensures fiscal responsibility of all funds received and spent by the agency.

- D1 The agency financial reports comparing budgeted versus actual balances should be provided to the Board at least quarterly.
- D2 The agency has sufficient cash to meet current obligations and has developed contingency plans to cover unexpected shortfalls in revenues and for redistribution of services if unexpected funding cutbacks should occur.
- D3 The agency receives a prompt audit (within six months of the fiscal year-end) conforming to GAAP (Generally Accepted Accounting Practices) standards and including a balance sheet and operating statement setting forth the agency's financial condition.
- D4 The audit and assessment letter are reviewed by the Board and any needed corrective action is formally enacted and followed to completion.

D5 The agency develops and, with the help of a risk-management expert (insurance expert), assesses its policies, procedures and practices at least every two years, to identify and manage situations and conditions that might place undue risk on the organization.

D6 The agency adheres to established comprehensive written internal fiscal control policies and procedures that contain a procurement policy.

**E. FUND DEVELOPMENT**

A fiscally sound agency should have a fund development plan that reflects a comprehensive strategy to secure the needed revenue for agency operations. Fund development activities are a primary responsibility of the Board.

E1 The fund development plan has specific goals for various categories of funding (e.g., corporate giving, agency board of directors giving, grants, government contracts, special events, direct mail, planned giving, etc.) which include objectives and assignment of responsibility.

E2 The agency makes every effort to access and develop several different streams of funding to provide a stronger more secure base for funding the organization.

**F. MARKETING AND PUBLIC RELATIONS**

It is important for an agency to inform the public of its mission and services so that members of the community are encouraged to support the work of the agency.

F1 The agency has a marketing/public relations plan.

F2 The agency has a policy regarding confidentiality and protection of consumer privacy, including consumer's written permission of release of information before the consumer can be presented in any manner to the public for marketing purposes.

**G. COMMUNITY RELATIONS AND COLLABORATION**

Collaboration among agencies strengthens the entire system, helps to close the gaps in service and promotes a community of cooperation.

G1 The agency has positive working relationships with other homeless service agencies in the community.

G2 The agency has worked with neighborhood stakeholders in a good faith effort to develop a partnership with neighbors, neighborhood organizations, businesses and other groups.

**H. PERSONNEL POLICIES, STAFF RELATIONS AND VOLUNTEER USE**

Written personnel policies that standardize the conduct of all employees and the use of volunteers are an essential component of good agency management.

- H1 The agency has a Personnel Policies Manual that is approved by the Board of Directors and is reviewed at least every three years.
- H2 The manual must include personnel policies that address:
- job descriptions for all positions including designated supervisor
  - annual performance evaluations for all staff, including the Executive Director
  - compensation and benefits plan
  - grievance procedure for staff and volunteers
  - conflict of interest and nepotism policy
- H3 Professional development opportunities, either internal or external, are available to all staff every year.
- H4 Each employee receives a copy of the policies, a job description, attendance and compensation information upon beginning employment.
- H5 If volunteers are used, the agency must have a current volunteer training manual, a formal process for orientation and training for the task to be performed.

## **PROGRAM ADMINISTRATION STANDARDS**

### **I. PROGRAM CRITERIA**

Each agency should have a written plan for service delivery in the Continuum of Care for the homeless population.

- I1 The agency has written client admissions policies which are posted or otherwise made known to clients and include re-entry policies and procedures. The agency can make its own rules about the right to leave and return to the facility, but these rules cannot be intended to unfairly discriminate against clients.
- I2 The hours of operation are clearly posted.
- I3 Reasonable efforts will be made to accommodate an applicant with a disability. If the program is not able to accommodate the applicant, referral to another appropriate program should be made.
- I4 The agency has a process for distributing and otherwise making known rules, regulations, disciplinary procedures and termination/suspension policies.
- There are written guidelines that are posted or that clients have been made aware of that describe unacceptable behaviors, such as violence, theft and any other activities that are against the law.
  - Consequences of rules violations are clearly stated and consistently enforced.
- There is an expectation that the staff is aware of client activities and behaviors.
- I5 The agency has a process for posting, reading and otherwise making known, the rights and responsibilities of residents that include a grievance policy for addressing alleged

violations of clients' rights. Reasonable efforts shall be made to ensure that all residents, regardless of language, understand their rights and responsibilities.

- I6 There is evidence that the governing board or its agent, collects, evaluates and analyzes all grievances so that trends and patterns can be noted and corrections can be made.
- I7 The agency shall provide or arrange for food service or make known available services nearby.
  - At sites where clients prepare their own food, clients have access to a kitchen. Food and other necessary supplies are provided on an as needed basis.
  - At sites where food is prepared for clients, the staff is knowledgeable in nutrition and sanitary food handling and safe food storage.
  - The agency makes a reasonable effort to meet medically and culturally appropriate dietary needs of residents.
- I8 If the agency holds funds or possessions on behalf of clients, the funds or possessions shall be returned upon request within two (2) business days of the client's request.
- I9 Each agency should provide reasonable access to a public or private telephone for use by facility clients or residents.
- I10 The agency has a written policy outlining the procedure related to consent for search when there is reasonable evidence of danger to self and others or of criminal activity.
- I11 Services for basic human needs cannot be denied if a client is unable to pay. Fees for some services may be required as part of a program, especially in long-term transitional programs. Fees for additional services must be reasonable and just.
- I12 The agency provides support services or makes referrals to appropriate support services such as:
  - case management
  - assistance with employment opportunities
  - education and training
  - medical and mental health services
  - transportation services
  - alcohol and drug treatment programs
  - assistance to secure long-term housing
  - material assistance programs
  - adult/children protective services
  - basic financial planning
- I13 The agency has a written process for evaluating the program outcomes so that information gained from the evaluation leads to modifications, changes or new programs that will improve or enhance the services offered and the services delivered.
- I14 The agency has a written procedure and can provide evidence that the procedure is being followed regarding:

- possession and use of controlled substances
- prescription medication

## **J. STAFFING**

Each agency should have competent, well-trained staff that is able to successfully implement the program and provide services according to the mission of the agency. In addition to the Personnel Policies Manual (Personnel Policies, Section H1), each agency has a Policies and Procedures Manual that includes the following:

- J1 The agency has an organizational chart of the paid staff including written job descriptions, roles and responsibilities.
- J2 The agency has an appropriate number of paid and/or volunteer agency staff for the number of clients served so that goals and objectives of quality service delivery to clients can be achieved.
- J3 Daily logs are kept documenting shift activities, special instructions and accounts of unusual or special situations. There is evidence, such as initialing, that the logs are reviewed by staff.
- J4 At least one staff person is available at all times with verifiable training in emergency first aid, emergency evacuation and CPR procedures.
- J5 The agency will ensure that all relevant staff members receive training in the following areas:
  - universal precautions for handling body fluids
  - TB protocol
  - emergency evacuation procedures
  - CPR, First Aid procedures
  - agency operating procedures
  - non-violent crisis intervention techniques
  - community resources and social services programs
  - ethical client practices
  - recognition of elder and child abuse

Documentation is maintained that shows that employees' training is current or is scheduled to be completed within the new employee's first year.

## **K. ADMINISTRATION**

Proper oversight and management of programs ensure successful service delivery. An agency Policies and Procedures Manual enables consistent, standardized supervision and management and enhances the effectiveness of the program.

- K1 The agency has established a data collection system which includes:
  - participation with the local CoC HMIS initiative;

- implementation of an intake and client record keeping procedure that includes intake interviews and records of services provided; and
- a listing of each person residing in/or receiving services at each facility with the dates and types of services provided

In addition:

- Files containing client information are in a secure location and locked (or capable of being locked) to maintain confidentiality. Signed consent forms are included in the files.
- Records of accountability for any money management/payee programs, clients' funds or possessions are turned over for safekeeping.

K2 A written policy concerning the release form that clients would sign to receive services at another agency should be part of the orientation procedures for clients and for staff.

K3 The agency has a written policy and procedure for the length of time client files are retained and a procedure for destruction of files after the designated period of time.

#### **L. FACILITIES CRITERIA**

All facilities should be in adequate repair and in compliance with local health, fire, electrical and building codes. Agencies should provide, to the best of their ability, a clean, adequate and safe space for clients.

L1 The facility must be kept in a sanitary condition. There is a written housekeeping plan and evidence that it is being implemented.

L2 There is a process for providing clean sheets, blankets and a towel for each client.

L3 There is evidence of adequate provision of pest control.

L4 The general appearance of the building is well maintained. Facilities are in good repair. Windows and doors operate properly and are not broken. The facility is in a fit and habitable condition.

L5 Restroom facilities include showers/baths, wash basins and toilets with handicapped accommodations. There is warm and cold running water. Facilities are clean and in good working order. In individual apartment units there is at least one toilet, washbasin and shower/tub per unit.

L6 The facility has heating units for winter and the ability to create airflow in hot weather. Furnaces are kept clean and in good working order. Filters are changed routinely as evidenced by a building maintenance log. Fans and air conditioning, if available, are in good condition.

L7 There is adequate natural or artificial illumination to permit normal indoor activities, including reading small print where posted.



- L8 In facilities housing children, testing for lead has been done and necessary remediation has taken place in accordance with applicable law.
- L9 There is evidence that radon testing has been done and necessary corrections made.
- L10 Hallways, stairwells and exits are well lit and there are back-up batteries for exit lights. There are exit signs with arrows clearly visible.
- L11 Exits, steps and walkways are clear of debris, ice, snow and other hazards. There is a process in place and utilized to maintain clear walkways. Exits are clearly marked and not blocked. All steps have handrails as required by applicable codes. Steps have treads or similar accommodation to prevent slipping.
- L12 First aid is complete and accessible to staff. In congregate units, a first aid kit with sufficient supplies to handle multiple occurrences is kept in a well-known accessible place.
- L13 The facility has written plans for identification, treatment and control of medical and health conditions (contagious diseases, body infestations) which implement Universal Precaution Procedures as required by OSHA standards. There is evidence that TB protocol is used. Staff members are trained in the implementation of disease prevention protocols.
- L14 There is a fire safety plan.
  - a. In congregate shelters, there are records of an annual fire inspection, a posted evacuation plan and an adequate fire detection system, regular fire drills and adequate fire extinguishers.
  - b. The facility has documentation that employees are trained in fire safety procedures, including the use of fire extinguishers.
  - c. In independent units, there are working smoke detectors and posted evacuation plans.
  - d. In multiple units with common entrances, there is record of an annual fire inspection.
- L15 The facility has a written policy, posted in a manner that will communicate to the greatest number of residents possible, prohibiting the possession of weapons and there is evidence that the policy is implemented.
- L16 If the facility provides meals, it makes adequate provisions for the safe storage of foods.
- L17 There have been Phase I Environmental Studies done for all newly acquired property.
- L18 Residential facilities should have a written procedure that assures the safety and security of residents and staff and their possessions.
- L19 In independent units, windows can be secured.

- L20 Phones are readily accessible for 911/emergency calls.
- L21 The physical layout of the facility provides separate living, dining and sleeping facilities.
- L22 The size and design of the facility is compatible with the program and the number to be served.
- L23 Privacy is assured for bathing and toilet facilities and available for male and female use.
- L24 There is an adequate supply of bed linens, towels, washcloths, blankets and water resistant mattress covers for each occupant.
- L25 Private offices or rooms are available to staff for interviews, counseling sessions, examinations and treatment.

**M. SHELTER ENVIRONMENT AND RELATIONSHIPS**

Each agency should strive to maintain a healthy, friendly environment for the benefit of staff/staff, staff/consumer and consumer/consumer relationships.

- M1 Each agency establishes and disseminates a clients' bill of rights.
- M2 The agency has a written procedure for applicants and clients to lodge complaints or appeals when decisions concerning them or services provided them are considered unsatisfactory.
- M3 The agency is guided by the belief that all persons served by its facilities have a right to protection from physical abuse, inhumane treatment, and all forms of sexual abuse and exploitation.

**N. ESSENTIAL SERVICES**

- N1 The agency develops a resource and referral list and updates the list annually. The referral list shall include referrals to all local community services.
- N2 Within 12 hours of entering shelter, make contact with client, conduct a needs assessment and begin developing an action plan to enable client to become permanently housed.
- N3 When appropriate, observe child and child/parent interactions for signs of child abuse and/or neglect and report to Child Protective Services as necessary.
- N4 Develop a client file and document the provision of essential serves and other important information.
- N5 Provide in-person crisis intervention, including supportive counseling and advocacy services when necessary.
- N6 Within 48 hours establish a plan for regular face-to-face supportive counseling and case management services.

- N7 Provide or make referrals to appropriate education/support groups.
- N8 Provide and/or coordinate access to agency and community services to meet the individual's identified needs.
- N9 Discuss client needs and coordinate service delivery at the direct service staff case management meetings.
- N10 Develop and maintain a formal process for terminating assistance to an individual or family. At a minimum, there must be an appeals procedure with one level of administrative review for clients who are evicted or refused service from the facility for any reason. Clients must be informed in writing of the appeals procedure at intake.

## STATE SHELTER GRANT BUDGET for FY2006-2007

Agency: \_\_\_\_\_

Grant: 07-SG-# \_\_\_\_\_

Use back of form or attach pages if needed

CATEGORY	SSG \$\$	EXPENSE ACCOUNT NUMBER	MATCH SOURCE
<u>REHABILITATION/</u> <u>MAJOR REPAIR</u> (List Project Activities)			
<u>OPERATION</u> (List Project Activities)			
<u>ADMINISTRATION</u> (non-staff) (List Project Activities)			
<u>STAFF</u> (List Staff Positions)			
Total			

## STATE SHELTER GRANT BUDGET-TANF for FY 2007

Agency: \_\_\_\_\_

Grant: 07-SGTF-#-\_\_\_\_\_

Use back of form or attach pages if needed

CATEGORY	SSG \$\$	EXPENSE ACCOUNT NUMBER	MATCH SOURCE
<u>OPERATION</u> (List Project Activities)			
<u>ADMINISTRATION</u> (non-staff) (List Project Activities)			
<u>STAFF</u> (List Staff Positions)			
Total			

# REQUEST FOR REIMBURSEMENT

State Shelter Grant – State General Funds

Fiscal Year 2007

On behalf of (*agency name*) \_\_\_\_\_, I hereby request State Shelter Grant funds in the amount of \$ \_\_\_\_\_ in accordance with the Grant Agreement between the GRANTEE and the Virginia Department of Housing and Community Development (DHCD). The purpose of the funds is to provide reimbursement for eligible expenses as defined in the FY 2007 Operations Manual. Records will be kept of all expenditures and submitted to the DHCD as required and per the terms of the Grant Agreement.

## SSG PAYMENT REQUEST

Request # \_\_\_\_\_ Grant 07-SG- \_\_\_\_\_ (*agency grant number*)

Federal Identification Number: \_\_\_\_\_

Grantee Name: \_\_\_\_\_

Address: (*where payment should be sent if agency is not using Electron Transfer of funds.*)

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Printed or Typed Name of Authorized Official

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed or Typed Title

\_\_\_\_\_  
Date

### FOR DHCD USE ONLY

**Cost Code**

**Project Code**

**Amount to be Charged**

\_\_\_\_\_

\_\_\_\_\_

\$ \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\$ \_\_\_\_\_

**Total**

\$ \_\_\_\_\_

By \_\_\_\_\_

☐ Non-Profit

Date \_\_\_\_\_

☐ Local Government

# REQUEST FOR REIMBURSEMENT

State Shelter Grant – TANF

Fiscal Year 2007

On behalf of (*agency name*) \_\_\_\_\_, I hereby request State Shelter Grant funds in the amount of \$ \_\_\_\_\_ in accordance with the Grant Agreement between the GRANTEE and the Virginia Department of Housing and Community Development (DHCD). The purpose of the funds is to provide reimbursement for eligible expenses as defined in the FY 2007 Operations Manual. Records will be kept of all expenditures and submitted to the DHCD as required and per the terms of the Grant Agreement.

## SSG PAYMENT REQUEST

Request # \_\_\_\_\_ Grant # 07 - SGTF- \_\_\_\_\_ (*agency grant number*)

Federal Identification Number: \_\_\_\_\_

Grantee Name: \_\_\_\_\_

Address: (*where payment should be sent if agency is not using Electron Transfer of funds.*)

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Printed or Typed Name of Authorized Official

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed or Typed Title

\_\_\_\_\_  
Date

### FOR DHCD USE ONLY

**Cost Code**

**Project Code**

**Amount to be Charged**

\_\_\_\_\_

\_\_\_\_\_

\$ \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\$ \_\_\_\_\_

**Total**

\$ \_\_\_\_\_

By \_\_\_\_\_

☐ Non-Profit

Date \_\_\_\_\_

☐ Local Government

## SUMMARY OF EXPENDITURES FORM

Agency: \_\_\_\_\_

Grant 07-SG-\_\_\_\_\_

Period \_\_\_\_\_

Date	Check #	Expense Account #	Written To	Rehab/ Major Repairs	Operations	Staff	Administration (non-staff)
SUB-TOTAL							
GRAND TOTAL							



## SUMMARY OF EXPENDITURES FORM

Agency: \_\_\_\_\_

Grant 07-SGTF- \_\_\_\_\_

Period \_\_\_\_\_

Date	Check #	Expense Account #	Written To	Operations	Staff	Administration (non-staff)
SUB-TOTAL						
GRAND TOTAL						

## SSG QUARTERLY MATCH FUNDS SUMMARY

### Cash Contributions

**Agency:**

**Please include both grant numbers if allocations are from both sources.**

**Grant 07-SG-**\_\_\_\_\_ **;** **07-SGTF-**\_\_\_\_\_ **Period** \_\_\_\_\_

<b>Source</b>	<b>Expense Category *</b>	<b>Amount</b>
<b>SUB-TOTAL</b>		
<b>GRAND TOTAL</b>		

\*Expense Category is what the cash contribution was used to pay. This entry should match the budget categories on the SSG budget, i.e., Rehab/Major Repairs, Operations, Administration (non-staff) or Staff.

**Attach additional copies of this form if necessary**



## SSG CLOSEOUT REPORT

**Agency:** \_\_\_\_\_

**Grant 07-SG-\_\_\_\_\_**; **Grant 07-SGTF-\_\_\_\_\_**

CATEGORY	State General Funds		TANF		Match	
	Budgeted	Actual	Budgeted	Actual	Budgeted	Actual
Rehab/ Major Repairs			\$0	\$0		
Operations						
Staff						
Administration (non-staff)						
GRAND TOTAL						

Total SSG Award	Total SSG Expenditures	Balance

**ACCOMPLISHMENTS:** In a brief narrative, describe the accomplishments made as a direct result of this grant.

I certify to the best of my knowledge that this information is an accurate accounting of program funds. In addition, I promise to send an audited financial statement(s) covering the period during which these grant funds were expended. The audited financial statement(s) will be sent to the Virginia Department of Housing and Community Development within sixty days of its/their completion.

Name and Title of Person Completing This Form (Type or Print)	Name and Title of Executive Officer
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Signature and Date	Signature and Date
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## FORMS - INSTRUCTIONS

### ALL Forms and Reports:

<u>Agency :</u>	Enter the name of organization as it is named on the grant agreement contract i.e.: Homeless Shelter, Inc., <u>Do not substitute your program name for the grantee organization name.</u>
<u>Grant 07-SG - Grant 07-SGTF -</u>	Enter the grant number for the current fiscal year. It can be found on the grant agreement contract. Do not use grant numbers from previous years. Please ensure that you enter the correct numbers for the State General Funds portion of the grant and the TANF portion of the grant.
<u>Period:</u>	Enter the dates of the period which is being reported. This will be either a monthly period or a quarterly period (7/01/2006 – 7/31/2006; 7/01/06 – 9/30/06). The quarterly reporting due dates are: October 15, 2006 January 15, 2007 April 15, 2007 July 15, 2007

- Do not attach any documentation to the reports. Each agency must maintain ALL documentation in the agency files.
- Do not attach printouts or other documents as replacements for the DHCD forms.
- An authorized person must sign all forms requiring signatures.
- A Summary of Expenditures must be submitted with each Request for Reimbursement. Please note that there are two Requests for Reimbursement (one for State General Funds; one for TANF funds). Correspondingly, there are two Summary of Expenditures forms (one for State General Funds; one for TANF funds). Please ensure that the correct forms are submitted.

### Summary of Expenditures Form

In the grid spaces, enter the date, the check or reference number, the name to whom the check was written and the dollar amount of the check/expenditure in the column under the appropriate budgeted category. Eligible expenditures are only those expenses, which have been approved on your budget by DHCD and those that were incurred within the grant year period. If "utilities" is an approved item on your budget, for example, you may list a payment for an electric bill as long as the electricity was used between July 1, 2006 and June 30, 2007. You could not pay an electric bill on July 1, 2006 for electricity used in May 2006.

Make a copy of any report that you submit to DHCD for your files.

Do not attach computer printouts from your accounting software as a replacement for the DHCD.

### Quarterly Match Funds Summary Reports

You must be able to document all match. This includes, but is not limited to, documentation of the value and source of in-kind contributions, volunteer activity logs, and other supporting documentation. In-kind match that is not adequately documented will not be approved. All cash match must have been used specifically for the grant-funded program.

- Cash Contributions
  - In the grid spaces, enter the specific name of the source of the matching cash contribution, the expenditure category that the contribution was used to pay, i.e. Rehabilitation/Major Repairs, Operations, Staff, Administration (non-staff).
  - Retain records for the receipt and the expenditure of these matching cash contributions for review by DHCD staff during monitoring/site visits.
  - Make a copy of any report that you submit to DHCD for your files.
- In-Kind Contributions
  - To report in-kind contributions, enter the type of donation (clothing, furniture), the dollar value of the contribution, and the source of the donation, (Department store, individual).
  - To report volunteer hours worked, enter the number of volunteers who worked for the report period, the number of hours that the volunteers worked at the grant funded facility, and the calculated dollar amount at \$5.00 per hour.
  - Records for the receipt of in-kind donations and volunteer hours worked must be retained for review by DHCD staff during monitoring/site visits.
  - Make a copy of any report that you submit to DHCD for your files.

#### What Counts as Match?

Grantees/recipients may use any of the following in calculating the amount of matching funds provided:

- cash;
- the value or fair rental value of any donated material or building;
- the value of any lease on a building;
- any salary paid to staff to carry out the program of the recipient; and
- the value of the time and services contributed by volunteers to carry out the program of the recipient at a current rate of \$10 per hour. (Note: Volunteers providing professional services such as medical or legal services are valued at the reasonable and customary rate in the community.)

#### Closeout Report

Once the expenditure of all grant funds in all categories has been reported, the Closeout report must be submitted.

In the grid spaces, enter the dollar amounts of grant funds budgeted (State General Funds allocation and TANF allocation) and grant funds actually spent. For match funds, enter the

budgeted amount and the actual amount. If a budget has been revised during the course of the grant year, these numbers should reflect the revised budget.

Below the grid, enter the total dollar amount of the grant award and the total dollar amount of the expenditures. These figures should be the same to result in a balance of \$0 in remaining funds.

In the narrative section, describe the accomplishments achieved as a direct result of this grant funding. The completion of the narrative section is not optional. The accomplishment information is very important as it is reported to the grant sources to justify the need for funding. Incomplete Closeout Forms or those filled out incorrectly will be returned.